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U.S.AGENCY FOR INTERNATIONAL DEVELOPMENT

Issuance Date: April 13, 2001  
Closing Date: May 29, 2001  
Closing Time: 5:00 PM CET

Subject: Request for Applications No. 169-01-24  
Community Revitalization through Democratic Action (CRDA)

The United States Government, represented by the Agency for International Development, Regional Contracting Office in Budapest, Hungary, is seeking applications from qualified U.S. Organizations and Institutions including Registered Private Voluntary Organizations (PVOs) aid organizations, etc. with the requisite capability and experience to implement USAID/Serbia's "Community Revitalization through Democratic Action (CRDA) Activity." The program duration will be five (5) years. The application must comply with the terms and conditions in this Request for Applications (RFA).

Up to 8 awards may be made from applications received in response to this RFA for activities in the Federal Republic of Yugoslavia. In this regard, up to 6 awards are expected initially for activities in the Republic of Serbia. For a period of up to 12 months from issuance of this RFA, up to 2 awards may be made for additional activities in Montenegro. Additional awards may also be made. Therefore, applicants are requested to submit applications for implementing this program in the Federal Republic of Yugoslavia and valid for up to 12 months, if possible. In the event that USAID decides to implement this program in Montenegro and/or make additional awards in the Republic of Serbia, USAID will request from applicants who have responded to this RFA, and deemed most advantageous to the government a revised proposal, as necessary.

USAID anticipates entering into these Cooperative Agreements (CAs) with applicants having the skills and experience necessary to implement such a program whose application is selected by USAID based on criteria set forth in the Evaluation Criteria in Section II of this RFA.

To this end, the RFA is being issued and consists of this cover letter and the following:

SECTION NO.	TITLE
I	RFA Instructions and Conditions
II	Selection Criteria
III	Program Description
IV	Cooperative Agreement Formats
V	Certifications, Assurances and Other Statements of Applicants
VI	Cooperative Agreement Application Form (SF 424)

Applications must be received at USAID/Budapest no later than 5:00 PM Central Europe Time (CET), by the closing date at the address below. Applications and revisions must be submitted in sealed envelopes with the name and address of the applicant and the RFA number:

Via hand-carry, international mail, or commercial courier service:

Regional Contracting Office  
USAID Regional Services Center  
Bank Center, Granite Tower, 4<sup>th</sup> Floor  
7-8 Szabadsag ter  
1944 Budapest, Hungary  
(Ref: RFA 160-01-24)  
Attn: Ashraf E. Soos

Applicants must submit both technical and cost volumes of their applications.

Telegraphic applications (including e-mails and attachments) are not authorized for this RFA and shall not be accepted. Loss or misdirected courier packages received after the due date will be considered as having been submitted late.

Applications which are submitted late or are incomplete or non-responsive may not be considered in the review process.

For your convenience, this RFA can be viewed and downloaded via the internet. The USAID main website address is as follows:

<http://www.usaid.gov>

under the Business & Procurement icon button.

IMPORTANT: Please inform USAID by e-mail if you have downloaded this RFA. Send notices to [asoos@usaid.gov](mailto:asoos@usaid.gov). Subject line should read "Notice of Interest", and body should address physical address, as well as e-mail return address. This will allow USAID to notify you should there be any revisions. Also, any questions concerning this RFA should be submitted in writing not later than 14 business days before the closing date and directed to the point-of-contact for this solicitation, Ashraf Soos, Regional Contracting Specialist, by E-mail [asoos@usaid.gov](mailto:asoos@usaid.gov) or fax (Fax No. 361-269-5893). If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective offerors, this RFA will be amended to provide such question(s) and answer(s). Therefore, questions should be submitted sufficiently in advance of the due date to allow preparation of such amendment. If it is determined that any question(s) do not warrant an amendment to the RFA, the Agreement Officer will respond to the questioner.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of applications. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Finally, applicants should retain for their records, one copy of any and all enclosures, which accompany your application.

Thank you for your consideration of this USAID program. We look forward to your organization's participation.

Sincerely,

Andrew Holland  
Regional Agreement Officer  
USAID/RCO - Budapest

SECTION I

RFA INSTRUCTIONS AND CONDITIONS

The Applicant shall follow the Request for Applications (RFA) Instructions and Conditions contained herein and supply all information required. Explicit responsibilities pertaining to this program are indicated in the Program Description, Section III of this RFA, to assist the Applicant in providing all information required for the evaluation (see Section II of this RFA). The preparation of the application will not necessarily follow the same order as any instructions that appear in the Program Description; rather, the application in response to this RFA should be divided into Volumes 1 and 2.

This requirement is not intended to prohibit or discourage applicants from submitting technical data in addition to the primary technical evaluation criteria, but merely to facilitate a uniform approach to application preparation.

Failure to furnish all information may disqualify an Applicant. Applicants must set forth full, accurate, and complete information as required by this RFA. The penalty for making false statements in applications to the United States Government is prescribed on 18 U.S.C. 1001.

Applications offering less than 60 days for acceptance by the Government from the date set for receipt may be considered unacceptable and may be rejected.

A. PREPARATION OF APPLICATIONS

1. GENERAL

Applicants are requested to submit an application directly responsive to the terms, conditions, specifications, and provisions of this RFA. Applications not conforming to this RFA may be categorized as unacceptable, eliminating them from further consideration.

Applications must be submitted in hard copy in two separate volumes: one original plus three (3) copies of Technical Application (volume 1), and Cost Application (volume 2). In addition, electronic copy of Applications in one 3.5-inch diskette of both applications should also be submitted (but this is not required). Such submission should be in the format of MS-WORD and cost proposals should be in Excel and/or Word.

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so shall be at the Applicant's own risk.

Each Applicant shall furnish the information required by this RFA. The Applicant shall sign the applications and print or type their name on the Cover Page of technical and cost volumes of the application. Erasures or other changes must be initialed by the person signing the

application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the USAID/RSC/RCO.

A.1. Technical Application (Technical Proposal - Volume 1)

The technical application is the critical item of consideration in selection for award of these Cooperative Agreements (CA). It should be specific, complete, and presented concisely. Section II addresses the technical evaluation of the application. All Applicants are advised that lack of completeness or superficiality of the application will constitute grounds for excluding it from consideration. USAID will consider only applications conforming to the format prescribed below:

a. Executive Summary

Provide a complete overall description of your strategy for the proposed community revitalization through democratic action program including the specific results and impact anticipated under the management CA, and the specific indicators of progress and achievement of the results/impact.

b. Technical Response

Succinctly describe how you will carry out the key elements of Section III, Program Description. Discuss approaches and methods, performance indicators, and an implementation schedule for the program.

The Technical Response should also include:

1. An illustrative first year implementation schedule including mobilization, start-up, formation of community and cluster committees, identification and implementation of initial community activities, and implementation of proposed community activities.
2. A description of the role the Applicant envisions USAID will play and proposed mechanisms for interacting with USAID (see USAID Substantial Involvement in Section I).
3. A description of how the recipient will coordinate closely with other USAID SO partners, and implementers funded by other donor-funded activities dealing with the intended population affected by the Program;
4. A preliminary plan for monitoring and reporting on the program (See Section III, Program Management, Reporting and Evaluation).

c. Management Plan

Clearly present your management arrangements including organizational and administrative structure. The Management Plan should specifically address the items listed in the "Program Management and Administrative Support" element of the Program Description. Identify your capacity to coordinate operations with other institutions, including USAID field missions. Finally discuss how the proposed program fits into existing management structure and provide appropriate organizational charts.

d. Key personnel

Identify a maximum of up to five key personnel (whose participation in the proposed activities is considered essential) by name and position. Include a brief summary of the functions and responsibilities of each position and the key person's work experience relevant to this RFA. Resumes should be included as an attachment to the application.

e. Applicant Qualifications

Provide a concise summary of your organization's qualifications. Include present and on-going programs that have a direct relationship to the program description in Section III of this RFA and description of relevant collaborative efforts your organization has undertaken. Provide a matrix attachment that provides past performance information of comparable projects having similar scope and magnitude to this requirement. The matrix should list a maximum of 10 references over the past 5 years and should include:

1. name and address of organizations for which the work was performed
2. telephone number of a contact person at each organization
3. contract/grant name and number, dollar amount of each, and period of performance of each
4. description of the project under each contract/grant

The Technical Committee will contact the named references and use the past performance data along with other information, to determine the applicant's qualifications.

A.2. Cost Application (Cost Proposal - Volume 2)

The cost volume of the application must include a budget with an accompanying budget narrative which provides in detail the total proposed costs for implementation of the program described in this RFA, to include a breakdown of Management (staff and office cost) and program delivery (project grants).

The budget shall be submitted using the Application for Federal Assistance (Standard Form 424), Budget Information (Standard Form 424a), and Assurances (Standard Form 424b). These forms are available in Section VI of this RFA and can be found also at:

[http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/SF-424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/)

The cost volume shall also include whatever schedules are necessary to adequately support and explain proposed costs. It shall contain as a minimum:

A.2.a. A detailed analysis of level of effort including specific personnel, rates of compensation, and amount of time proposed.

A.2.b. Details of all other direct cost items for supplies and equipment.

A.2.c. A Negotiated Indirect Cost Rate Agreement (NICRA) from the cognizant Government Audit Agency stating the latest audited indirect cost rates, the base to which such rates are applied and the method of application. If a NICRA is unavailable, submit sufficient information to allow USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, annual financial statement, etc.)

A.2.d. Indicate whether or not the institution's accounting and purchasing/procurement system has been approved by any Government agency; if so, provide the name, address, and telephone number of the cognizant auditor.

A.2.e. Applicants shall submit sufficient evidence of responsibility for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

A.2.e.1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the Cooperative Agreement.

A.2.e.2. Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the Applicants nongovernmental and governmental.

A.2.e.3. Has a satisfactory record of performance. In the absence of evidence to the contrary of circumstances properly beyond the control of the Applicant, Applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of nonresponsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer shall collect and evaluate data on past performance of Applicants using information on past programs provided in accordance with SECTION II.

A.2.e.4. Has satisfactory record of integrity and business ethics; and

A.2.e.5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., Equal Employment Opportunities).

A.2.f. Completed Certifications and other Required Information in SECTION V.

A.2.g. A curriculum vitae and past three year salary history, for each individual proposed whose labor will be charged directly (whether to USAID or to contributions by the Recipient) under the Cooperative Agreement. The position titles must be consistent with the Applicant's technical application, and any consulting fees must clearly specify the number of days and the day rate charged.

A.2.h. The cost application shall be presented in such a manner as to clearly differentiate between costs proposed for USAID funding, and

costs proposed for funding by the Recipient or other organizations, if any (see SF-424 in Section VI of this RFA).

A.2.i. If the Applicant intends to use sub-contractors or sub-recipients, indicate the extent intended, the method of identifying subcontractor and sub-recipients, the extent to which competition will be used, and a complete cost breakdown.

A.2.j. Items of cost should be shown as the following line items:  
Direct Labor - In addition to direct labor costs, the cost application should also indicate the number of paid absence (vacation, holiday, sick) days, and the method of recovering costs for paid absence days i.e., through direct labor charges, fringe benefits, or indirect costs).

Fringe Benefits - If accounted for as a separate item of costs, fringe benefits should be based on the Applicant's audited fringe benefit rate (see A.2.c. above) or historical cost data. If the latter is used, it should be supported by a detailed breakdown comprised of all items of fringe benefits (e.g., Unemployment Insurance, workers compensation, Health and Life Insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Subcontracts/Sub-agreements - This may include implementation arrangements and research activities as determined by the Applicant. Applicants should provide a detailed breakdown of anticipated subcontracting/sub-agreement costs (i.e. salaries, fringe, travel, other direct costs, indirect costs, and fee, if any) to support this line item.

Supplies and Equipment - the cost application shall differentiate between expendable supplies and nonexpendable equipment.

Travel and Per Diem - Number and cost of trips proposed.

Other Direct Costs - This includes communications, report preparation costs per Section E., of the cooperative agreement Schedule, passports, visas, medical exams and inoculations, insurance (other than coverage recovered through indirect costs), etc. The Applicant shall provide a breakdown and support for all other Direct Costs.

Indirect Costs - Indirect Costs should be budgeted and supported as described above. If the Applicant proposes to absorb some or all of its Indirect costs as Cost-Sharing this shall be so indicated.

Fee - No fee or profit shall be awarded under assistance instruments.

#### B. UNNECESSARILY ELABORATE APPLICATIONS

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of lack of cost efficiency. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted and may reflect unwise spending practices.

Applicants considered competitive may be asked to make oral presentations, involving all key staff, to the Review Panel. At the time of presentations, the Review Panel would engage the Applicant(s) in discussions about any aspect of their technical proposal. This would provide the Applicant(s) an opportunity to clarify any issues.

C. ACKNOWLEDGMENT OF AMENDMENTS TO THIS RFA

Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgment by the time specified in the Cover Letter for receipt of applications.

D. RECEIPT OF APPLICATIONS

Applications must be received at the place designated by the date and time specified in the Cover Letter of this RFA to be considered responsive.

E. SUBMISSION OF APPLICATIONS

E.1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the Applicant.

E.2. Any modification of an application, except a modification resulting from the Agreement Officer's request for a revised application following negotiations is subject to the same conditions as in E.1. above.

E.3. Applications may be withdrawn by written notice or telegram (including mailgram or e-mail) received at any time before award. Applications may be withdrawn in person by an Applicant or an authorized representative, if the representative's identity is made known and the representative signs a receipt for the application before award.

F. RESTRICTIONS ON DISCLOSURE AND USE OF DATA

Applicants who include in their applications data that they do not want disclosed to the public for any purpose or used by the Government except for evaluation purposes, shall -

F.1. Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If however, a Cooperative Agreement is awarded to this Applicant as a result of - or in connection with the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Cooperative Agreement. This restriction does not limit the Government's right to use information contained in these data if it is obtained from another source without restriction. The data subject to this

restriction are contained in sheets [insert numbers or other identification of sheets]"; and

F.2. Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

G. EXPLANATION TO PROSPECTIVE APPLICANTS

Any prospective Applicant desiring an explanation or interpretation of this RFA must request it in writing no later than 14 business days before the closing date. This is to allow enough time for the Agreement Officer's reply to reach all prospective Applicants before the applications closing date.

Oral explanations or instructions given before award of the Cooperative Agreements shall not be binding. Any information given to a prospective Applicant concerning this RFA shall be furnished promptly to all other prospective Applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicants.

H. FAILURE TO SUBMIT APPLICATION

Recipients of this RFA not responding with an application should not return this RFA. Instead, they should advise the point-of-contact listed in the Cover Letter in writing (letter or postcard) that they will decline submitting a proposal.

I. COOPERATIVE AGREEMENT AWARD

I.1. The Government intends to award up to 8 Cooperative Agreements, at any time up to 12 months from issuance of this RFA to the responsive Applicants whose application conforming to this RFA offer the greatest value (see also Section II of this RFA).

I.2. The Government may (1) reject any or all applications, (2) accept other than the lowest cost application, (3) accept alternate applications, and (4) waive informalities and minor irregularities in applications received.

I.3. The Government may award a Cooperative Agreement on the basis of initial applications received, without discussions. Therefore, each initial application should contain the Applicants best terms from a cost and technical standpoint.

I.4. A written award mailed or otherwise furnished to the successful Applicant with the time for acceptance specified in the application, if any, shall result in a binding Cooperative Agreement without further action by either party. Before the applications' specified expiration time, if any, or 60 days after the closing date the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before

award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

I.5. Neither financial data submitted with an application nor representations concerning facilities or financing, shall form a part of the resulting Cooperative Agreement.

J. ALTERNATE APPLICATIONS

If you desire to submit an application on other terms which you believe offers greater value, price or other factors considered, you should submit, in addition to a responsive application, an alternate application reflecting such advantages. An application directly responsive to this RFA must be submitted before consideration can be given to an alternative application.

K. AUTHORITY TO BIND THE APPLICANT

The cost volume of the Applicant's application must identify the individual(s) having authority to bind the Applicant. It is also to name the person to be contacted both during the period of evaluation of applications and for negotiations leading to award. This information is to include: name, title, address phone number, internet e-mail, and facsimile number (if available).

L. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

END OF SECTION I

SECTION II  
SELECTION CRITERIA

Applicants should note that these criteria (a) serve as the standard against which all applications will be evaluated, and (b) serve to identify the significant matters that should be addressed in all applications.

Technical applications (Volume 1) shall be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application (Volume 2) of Applicant(s) submitting a technically competitive application shall be evaluated for reasonableness, allowability, and allocability in accordance with the cost evaluation criteria, also set forth below. Those Applicants who score high technically may be invited by USAID to make oral presentations (as mentioned in Section I.B.). Negotiations will only be conducted with Applicants whose applications have a reasonable chance of being selected for award. Award will be made to the Applicant whose application represents the best value to the Government.

USAID encourages the participation to the maximum extent possible of small business concerns, small disadvantaged business concerns, women-owned small business concerns, and other Disadvantaged Enterprises in this activity, either as the prime Recipient or as subcontractors or sub-recipients. In this respect, it is anticipated that every reasonable effort will be made to identify and make use of such concerns. All other selection criteria being found equal, the participation of such concerns may become a determining factor for selection. Disadvantaged Enterprises are socially or economically disadvantaged enterprises, historically black colleges or universities, and private voluntary organizations controlled by economically disadvantaged persons.

Applications will undergo preliminary review by USAID procurement and technical staffs for completeness and responsiveness.

Applications that are submitted late or incomplete run the risk of not being considered in the review process.

The Government will award the cooperative agreement to the applicant whose offer represents the best value to the Government on the basis of the following: A) Technical Merit; and B) Cost.

A. TECHNICAL EVALUATION CRITERIA (Technical Volume - 1)

Technical Applications will be evaluated according to the criteria below. The number of points assigned indicates the relative importance of each criterion. Those Applicants who score high technically may be invited by USAID to make oral presentations. Thereafter, the cost application (Volume 2) of Applicant(s) submitting a technically competitive application shall be evaluated for reasonableness, allowability, and allocability in accordance with the cost evaluation criteria, also set forth below. Negotiations will only be conducted with Applicants whose applications have a reasonable chance of being

selected for award. Award will be made to the Applicant whose application represents the best value to the Government.

USAID will use the following criteria, in the order of precedence shown, along with a best value analysis, to select one application for negotiation and award of the cooperative agreements. A total of 100 points is possible. Applicants should note that these criteria serve to: (a) identify the significant subjects which Applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

Personnel Capability And Experience: (50 Points)

Technical and managerial experience and skills of personnel proposed; practical experience in establishing and operating community based assistance programs, especially similar programs which emphasize community mobilization and implementation of community based infrastructure, income generating, and environmental projects; knowledge of the Federal Republic of Yugoslavia (FRY) and/or the Balkans; demonstrated experience and ability to work in the FRY or in a similar environment; and applicable language skills of field personnel; the applicant's ability to field personnel with a broad range of skills corresponding to potential areas of community action as well as core staff versed in community mobilization.

Program Approach And Implementation Plan: (25 Points)

Extent to which the application sets forth a clear and supportable course of action that will result in programs which respond to the identified needs of communities in the FRY and the implementation of infrastructure, income generating, and environmental projects. This course of action should include: community mobilization to identify, prioritize, and implement projects for the revitalization of communities social and economic life; plans to implement community based infrastructure, income generating, and environmental projects; plans to monitor and evaluate program implementation, results and impact tracking; plans to monitor the evolving conditions of communities, to analyze the information collected, and to recommend programmatic changes based on that information and analysis; the specific results/impact anticipated, defined by quantifiable indicators of progress; plans for addressing gender concerns including disaggregated data collection; and the appropriateness of the approach and plans to the context in the FRY. The quality of the application will be an important element of the point score for this evaluation area. The review will also consider the comprehensiveness, timeliness, reasonableness and flexibility of the implementation and management plan. The plan should be directed towards meeting all program requirements and timelines yet be flexible to react to community identified priorities. The plan should address the applicant's organization, delineate staff responsibilities, management systems, and field versus home office responsibilities. The application should make clear the system to be used for community mobilization, managing subgrantees and subcontractors, construction management, procurement, financial management, and interacting with USAID and other partners in implementation of community activities.

Institutional Capability And Past Performance (25 Points)

The applicant's past performance on similar programs; applicant's experience in the Balkans; demonstrated capability and capacity to plan, implement and support complex programs and the range of activities outlined in the Program Description; ability to collaborate with other organizations; knowledge of USAID implementation and procurement regulations and practices; ability to monitor and evaluate program implementation, results and impact; ability to monitor the evolving conditions of communities within the scope of the program, to analyze the information collected, and to recommend programmatic changes based on that information and analysis; clear organizational structure and relationships; ability to provide and support personnel and field operations; ability to meet USAID reporting and accountability requirements; and ability to staff and start program activities rapidly. Demonstrated ability to conduct technical activities included in the program description in settings such as the FRY, including cooperation with host country officials, at both the national and local levels, community groups in the host country, and other donors. Evidence of understanding the political, economic and social context in the FRY and the targeted communities.

B. COST PROPOSAL EVALUATION CRITERIA (Cost Volume - 2)

1. The evaluation of the cost proposal shall deal with the reasonableness and realism of the costs proposed and the cost sharing arrangement proposed.

USAID will review the cost portion of the application to determine if the overall costs proposed are realistic and reasonable for the work to be performed, if the costs reflect the Applicant's understanding of the requirements, and if the costs are consistent with the technical application.

The cost realism analyses is intended to meet the following three goals:

- (1) verify the Applicant's understanding of the requirements and regulations;
- (2) assess the degree to which the cost proposal reflects the approaches in the technical application; and,
- (3) assess the degree to which the cost included in the cost proposal accurately represents the work effort included in the technical application.

Demonstrated ability to minimize recurrent costs and maximize cost-effectiveness will also be evaluated. Maximizing the percentage of this cooperative agreement allocated to program delivery (rather than administrative costs) will be a major factor in evaluating applications

2. Amount of Non-USAID Funding. It is USAID policy that the principle of cost-sharing or matching is an important element of the USAID-recipient relationship. Therefore, cost proposals should include a statement of the applicant's plan for financial participation, preferably contributing to defray administrative costs so that USAID funds can be utilized for community activities to the maximum extent possible. Cost-sharing can include contributions, both cash and in-

kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. The amount of cash contributions and in-kind contributions, which shall apply to any contributions proposed by the Applicants of any, shall be evaluated by USAID.

Matching contributions by communities, private parties, local government, and other donors -as described in the program Description- in implementation of community activities will not be considered in evaluation of cost-sharing by the applicant.

For definition of cost sharing and matching see CFR 226.23. For more information regarding cost share, refer to the following web sites:

<http://www.usaid.gov/pubs/sourcebook/usgov/uspv.html>  
<http://www.usaid.gov/pubs/ads/300/303.htm#303.5.10>

END OF SECTION II

## SECTION III

## PROGRAM DESCRIPTION

## A. Summary

This Request for Applications (RFA) seeks applications from qualifying organizations for a Cooperative Agreement (CA) to implement the Community Revitalization through Democratic Action Program (CRDA) in the Federal Republic of Yugoslavia. This is a five year program which will be implemented throughout the FRY through cooperative agreements (CA) issued to up to 8 NGO/PVOs. Additional awards may also be made. Life of program funding for each CA will be up to \$40 million for the 5 year period, incrementally funded the first year at approximately \$4.5 million. Applicant is free to propose an illustrative budget allocating costs as necessary to carry out all components of the scope of work described in Section III, so long as it conforms to the requirements of Sections I & II. It is anticipated that during the first year of the program each recipient will establish committees in 50 communities and conduct at least one activity in each community.

CRDA is a program of community development aimed at promoting citizen participation in and between communities to identify and address the critical needs for the economic and social revitalization of community life. The program will be implemented through locally formed community committees responsible for identifying and prioritizing community needs, mobilizing community and other resources, and monitoring the implementation of projects. The recipient will identify clusters of communities that constitute groupings with natural geographic, social, or economic ties. Cluster committees will be formed with representatives from the community committees to broaden participation on issues of regional concern and promote cooperation among communities in meeting social and economic needs. In conjunction with a local government strengthening program being implemented separately by USAID/Serbia, the CRDA will promote increased citizen involvement in municipal affairs by involving them directly in decisions regarding resource allocation and sustainability of community services and promoting municipal support for community initiatives.

Specifically CRDA, working through community & cluster committees, will prioritize, plan, and implement projects to revitalize essential infrastructure, create income generating opportunities, address critical environmental problems, and promote civic participation. CRDA will fund projects on the basis of their social or economic impact, their sustainability, broad based citizen participation in the identification and implementation of the project, and community, government, or other contributions. Over the life of the program, matching contributions will equal at least 25% of the cost of projects, though USAID anticipates that matching contributions will exceed this ratio considerably in most communities.

Recipients will work with a community and cluster throughout the five year life of program acting as a resource to them for increasing the quality and quantity of civic participation to achieve positive social and economic change. Recipients will support community action by facilitating community organization, providing targeted technical assistance and training, ensuring the technical, economic, and

environmental viability of projects, and providing monitoring and oversight. Where possible the recipient will encourage inter-community solutions and will facilitate cooperation between communities and government to promote sustainability of projects.

Each recipient will work in a specified geographic region to be determined through a consultative process with all recipients at the start of the program. Within the designated geographic region the recipient will identify the communities and community clusters with which they will work and will continue working with those communities throughout the life of the program. Although applicants may want to contact local NGOs, government, or other local organizations for preparation of their proposal, applicants are requested to refrain from speaking with specific communities or clusters regarding this program.

#### B. Background

In the 1990's, during Milosevic's rule the people of Serbia suffered cycles of economic and social instability that resulted in severely decreased production, low wages, high unemployment and under-employment (particularly in rural areas and particularly in southern Serbia). Gross domestic product dropped by two-thirds over that period. Registered unemployment is now over 25%, but many people considered to be officially employed no longer actually work and receive no wages. Actual unemployment is thought to be in the area of 60%. Rapid inflation at several points in the past decade severely reduced the real value of financial assets. The elderly, the handicapped and single parent families - often without substantial financial or physical assets to start with - have been especially hard hit and will continue to be particularly vulnerable, since pensions and other social welfare payments have shrunk to low levels and often have not been provided on time. Coping mechanisms, such as family support and sales of assets, provided some measure of relief in the past but are approaching the limits of what they can provide for many people.

The quality and capacity of social service delivery mechanisms and institutions, like the health system, public utilities and other public services in Serbia, have been undermined during the past decade by economic decline, a lack of investment, and the increased demand of a large refugee population. An insufficient number of inadequately trained health and social service personnel have few resources with which to work. Infrastructure has deteriorated severely due to lack of investment and a social policy that subsidized public services to such an extent that communal enterprises were starved of funds for proper operation and maintenance.

The flow of refugees and internally displaced persons has severely strained Serbia's already inadequate and deteriorated public services. The number of refugees and internally displaced persons currently in Serbia is estimated at 680,000. The most recent arrivals were some 200,000 Serbs from Kosovo in 1999. Roughly 80% of these refugees and displaced persons live in private accommodations, most having moved in with relatives or otherwise dispersed themselves in Serbian society, but 476 collective centers still exist. The ability of public institutions and communities to provide adequate services to the

thousands of remaining refugees and internally displaced people is so severely constrained that external support continues to be needed.

Although the socio-economic situation mentioned above is serious, two OFDA surveys conducted in 2000 reveal that Serbia should not be categorized as a nation that needs massive disaster relief efforts. It should be remembered that in the 1980s Yugoslavia's industrial and agricultural sectors were considered to be among the most sophisticated in Eastern Europe. These sectors still have significant assets, but need to be revitalized. Until family incomes can rebound, and refugees are integrated into the communities or return to their former homes, there will be a need for socio-economic development support for the poor and the general population of Serbia. Given the rich natural and human resources of Serbia, community mobilization offers a promising opportunity to build on the democratic revolution in Serbia, and create a momentum for social and economic development at the local level.

### C. Strategic Framework

This program is being implemented under USAID Strategic Objective 2.1 "Increased Better Informed Citizens' Participation in Political and Economic Decision- Making" This RFA calls for applicant's proposed program to contribute to the achievement of SO 2.1 and to address the intermediate results (IR) 2.1.1, 2.1.2, 2.1.3, 2.1.4, and 2.1.5 listed below. The indicators of progress provided below in achieving the IRs are illustrative and subject to change. The successful applicants will be expected to participate, in conjunction with other recipients under this RFA, in the selection of indicators, identification of data sources, and establishment of units of measure for a core set of indicators that can be used to evaluate the program across implementing partners and geographic locations. A common format and reporting system will be established for all recipients. This does not preclude, however, individual recipients from establishing additional indicators and supporting data for the performance monitoring of their programs, and including those in reporting to USAID. Recipients will be responsible for the collection and analysis of baseline and progress indicator data and performance reporting. USAID underlines the importance of developing reasonable and coherent performance targets and indicators and collecting accurate and timely data to monitor performance. Applicants should ensure that they allocate sufficient resources to this critical function.

#### C.1 IR 2.1.1 Increased Citizen Participation

This intermediate result is "Increased citizen participation, especially women and minorities, in community development activities". The establishment of community and cluster committees will provide a framework for community involvement and an opportunity to draw previously marginalized groups such as women and minorities into community action. Moreover it will provide a forum representing broad-based community priorities that can form the basis for lobbying local and other government bodies for support. In many communities the neglect of minority groups is apparent in the lack of infrastructure and social services in minority settlements. The small number of women on municipal councils is indicative of their lack of representation. Establishing broadly representative community committees and supporting

their decisions with concrete activities will provide a vehicle for empowering communities and building community cohesion. The success of the committees in representing community interests and thus achieving this IR should be reflected in the level of community participation in the committees and the community projects they initiate.

IR 2.1.1 results may be measured by the number of community committees established, their ethnic and gender make-up, their level of activity, the level of community contribution and participation in community projects, and the number and type of project beneficiaries.

C.2 IR 2.1.2 Increased Inter-Community Cooperation

This intermediate result is "Increased inter-community, especially inter-ethnic, cooperation in community development activities". In many cases economic and social projects are best implemented on a regional basis incorporating regional planning and cooperation in decisions regarding infrastructure, social service provision, and environmental issues. Cost effectiveness can be improved, scarce resources shared more equitably, negative environmental impacts avoided, and environmental conditions improved through inter-community cooperation. The cluster committees provide a forum for reviewing economic and social development plans from a regional perspective and an opportunity for communities to cooperate to mutual advantage on shared economic and social priorities.

Serbia has a large and diverse minority population. Bosnians, Albanians, Hungarians, Bulgarians, Romanians, and Roma constitute significant minority populations. Geographic areas have distinct ethnic characters and throughout Serbia settlements tend to be mono-ethnic. In the cities and towns neighborhoods will reflect an ethnic group. In rural areas villages will be largely one ethnic group, though a community, or community cluster often can incorporate two or more ethnic settlements. The cluster committees offer an opportunity to promote inter-ethnic cooperation between communities and build cohesion and cooperation among Serbia's ethnic groups on the basis of shared interests.

IR 2.1.2 results may be measured by number and make-up of cluster committees, level and type of committee activity, number and type of joint projects implemented, and level of inter-ethnic participation and cooperation.

C.3 IR 2.1.3 Improved Social and Economic Infrastructure

This intermediate result is "Improved social and economic infrastructure". More than ten years of war, economic mis-management, theft of public resources, and economic sanctions has left Serbia's infrastructure seriously deteriorated, and crippled local governments' ability to meet infrastructure needs. The Milosevic regime starved municipalities of revenues in order to undermine the growing democratic opposition movement that had its roots in the towns and cities. In order to buy social peace, the Milosevic regime heavily subsidized public services leading to de-capitalization of infrastructure, and a declining level and quality of public services. In a climate of scarce government resources minority communities were neglected. Even with an

improving economic environment and government de-centralization empowering municipalities, the resources to meet community infrastructure needs will be extremely limited for many years to come. Therefore a primary focus of CRDA will be to implement infrastructure projects that accelerate, extend, complement, or substitute for government efforts.

IR 2.1.3 results may be measured by infrastructure projects completed, improved service, increased number of beneficiaries, improved cost recovery, better management, and improved sustainability.

C.4 IR 2.1.4 Increased Incomes

This intermediate result is "Increased incomes and job opportunities, particularly for low-income families". The collapse of the state-run network of industrial, trade, and service companies that provided the bulk of formal employment in Serbia has undermined family incomes throughout Serbia. Even in small municipalities, rural towns, and villages, it was employment in state owned enterprises or government that constituted the foundation of family income, not agriculture. The majority of Serbia's commercial agriculture and dairy production comes from large state-owned farms in Vojvodina. Private ownership of farm land is restricted by law to plots of no more than 10 hectares, but the typical private landholding is much less - 2 to 3 hectares. Private farming therefore, is generally for consumption or supplemental income. The private business sector is also underdeveloped. Private business in Serbia is limited to small service providers (vehicle repair, plumbing, carpentry, shoe repair, hairdressers, taxis, etc.), restaurants or small shops, trade, construction, and some small-scale industry.

The new government is committed to privatization, reform of economic policies and the creation of institutions to support a market economy and promote private sector development. It will take time however for these efforts to have an impact on incomes at the local level and immediate income generation is needed. The poor state of infrastructure is a constraint to economic development and public works projects conducted through CRDA will contribute immediately to incomes through employment in public works project, purchase of local materials, supplies, and services, and local contracting. If chosen properly CRDA infrastructure projects can help enable income generating activities, through better access to markets and increased inputs to farming for example, but direct efforts to create income-generating activities are also necessary. Small scale agriculture offers some of the best immediate opportunities, particularly through projects to add value to existing agriculture production or expansion of agricultural capacity, but service, trade, and even small-scale industrial activities may prove viable as well.

IR 2.1.4 results may be measured by agricultural, service, or industrial capacity increased, jobs created, income generated, increased government revenue, and household incomes raised.

C.5 IR 2.1.5 Improved Environmental Condition & Practices

This intermediate result is "Improved environmental conditions and practices". Neither national nor local level officials have established detailed environmental standards and there are few effective environmental review or enforcement mechanisms. In the absence of effective government action, environmental concerns are neglected at the local level where impacts are most directly felt. Community participation in mitigating negative environmental impacts of community projects and promoting interventions that improve the local environment can raise community awareness and mobilize public opinion to change government behavior. Recipients will seek to incorporate environmental impact as an integral part of community priority setting and project review, and will promote environmental awareness.

IR 2.1.5 results may be measured by number of environmental impact mitigation activities, awareness raised, positive environmental change, and improved health.

## D. Program Implementation

Each recipient under this RFA will be responsible for all CRDA activities in a given geographic area and will operate in that area for the life of the program. Each recipient will operate independently but will be responsible for coordination with other recipients, and USAID, Serbian government, and international donor programs in their area of operation. Periodically, all CRDA implementers will meet to share experiences, coordinate activities, and review progress of the CRDA program.

D.1 Start-up

At the beginning of the program a consultative process conducted by USAID involving all CA recipients will delineate geographic areas, determine which area will be the area of operation for each recipient, determine criteria for community and cluster selection, and establish the basic indicators for monitoring performance. Although there will be only one recipient working in any given area there may be instances where cooperative activities are conducted between areas. It is USAID's intention that CRDA will be nation-wide and will operate in each major geographic and administrative region in the FRY.

Within the assigned area it will be the responsibility of the recipient to conduct an assessment of the economic, social, political, geographic, and demographic characteristics of the area, focusing on identifying communities and clusters that best meet criteria for selection. Choice of community clusters will be subject to USAID approval and will be substantiated by comprehensive analysis of data on all communities in the area of operation. Communities can be rural or urban, and clusters can combine rural and urban communities as well as being exclusively rural or urban. Urban communities can be selected that are not part of a logical cluster if they meet selection criteria, however it is anticipated that the majority of the communities and clusters will be in rural towns and villages.

Applicants should provide the criteria they propose for community and cluster selection, and describe in detail the methodology they will employ to ensure selection of the communities and clusters that best meet the criteria. Broadly, community selection criteria should include need, community buy-in to the program concept, willingness to contribute, level of participation, municipal cooperation, and opportunities for exceptional progress in economic development or ethnic reconciliation. Cluster selection criteria should include groupings with natural geographic, social, or economic ties, a willingness of the constituent communities to engage each other regardless of ethnic, religious, or political differences, and opportunities for exceptional progress in regional cooperation.

Applicants who are currently, or have in the past worked with communities in the FRY should include in their application a description of the work they have done with the communities, partner community organizations or counterparts, results and achievements, and other relevant information that will clarify the depth and breadth of the applicants involvement with the community(s). USAID makes no assurances that a recipient will be assigned an area corresponding to communities in which they have worked in the past, but previous work in a given geographic area will be given consideration in assignment of areas of operation.

#### D.2 Community Mobilization

Within each community the recipient will establish a community committee responsible for identifying community revitalization activities, prioritizing the activities, mobilizing community support for the activity, overseeing the activity, and ensuring that ongoing maintenance and operation, if needed, is being effectively undertaken, and needed equipment, supplies, and staffing is sustained.

The community committees constitute the core vehicle for realization of the objectives of the program. To be effective the committees must be reflective of the community, ensuring an appropriate gender ratio and representation by all socio-economic and ethnic groups, social and religious institutions, significant NGOs, and political leadership. The recipient will commit to work with a community and cluster for the life of the CA, so careful formation of the community committee is important, creating a balance that is truly representative of the community, while ensuring a group that can work together to realize community action.

Selection of communities will be based partly on their logical ties within groupings with common geographic, social, or economic interests. By selecting target areas in this manner, CRDA seeks to build regional cohesion and expand the impact of the program beyond the community. By evaluating community priorities against their regional relevance community activities can be strengthened and opportunities for community revitalization broadened. In areas where ethnic tension is undermining development, cluster committees can provide a forum for initiating cooperation on shared interests, paving the way for finding common ground to overcome common problems. Cluster committees can offer regional solutions to problems that are beyond a community's capabilities, or offer cooperative exploitation of resources

underutilized because of disputes. A shared water source, land fill, or wastewater treatment plant are examples.

The recipient will be responsible for facilitating the formation of the community and cluster committees and supporting their work with organizational, material, technical, and training assistance. Applicants should describe in detail the methodologies they will employ to establish and equip the committees to undertake CRDA and the resources they will bring to bear for ongoing support of the committees work.

### D.3 Community Activities

Through each CA, USAID will fund implementation of activities identified by the community committees. CRDA funding must be matched by community, government, private, or international funds no less than 25% of the value of the projects undertaken during the life of the CA. This ratio does not apply to each individual project, but the totality of projects implemented under the CA. It is expected however that matching contributions will significantly exceed this ratio over the life of the CA. The recipient, in conjunction with the community and cluster committees, will be responsible for determining the projects funded by CRDA and ensuring that they contribute to SO 2.1 and IRs 2.1.1 thru 2.1.5.

USAID will fund activities in the following four areas:

- **Civic Participation activities** whose purpose is to engender a sense of community, reduce inter-ethnic tensions, and involve community populations in their own governance.
- **Infrastructure development and rehabilitation** that accelerates, extends, complements or substitutes for government efforts. This could include potable water, wastewater and irrigation systems, schools, health clinics, community centers, roads and other critical infrastructure. In general it is anticipated that USAID funding will go into development or renovation of works and facilities such as piping and collection systems, well fields and pumping systems, storage systems, treatment systems, and buildings. Supplies, generic equipment such as desks, chairs, media equipment, medical equipment, etc. as well as staff salaries and training, should be the contribution of the community, government, or another international donor.
- **Income generating activities**, particularly in agribusiness, small scale industry, local trade or service activities. Programs could support agriculture or food processing activities such as a canning plant or saw mill, re-opening small-scale industrial enterprises such as a furniture or shoe factory, re-opening shops and service businesses or investment in home or cottage industries. Training and technical assistance can be made available as necessary. USAID will not fund credit programs under CRDA, but loans may be available through other USAID or international donor programs.
- **Environmental activities** that mitigate pollution, protect health, or preserve natural resources such as reforestation, sanitary drainage, landfills, erosion control, etc. Environmental education programs may also be undertaken, either in conjunction with specific activities as mentioned above or as a stand alone activity.

#### Illustrative Areas of Program Delivery

The following list illustrates areas that might be pursued within each program area. Neither the illustrative areas nor the illustrative mechanisms are intended to be prescriptive or restrictive.

#### Civic Participation

Community committees are the most important civil society activity though others might include:

- Community clean-up and other preventive health and sanitation programs
- Conflict resolution activities
- Informal women's men's or children's groups
- Local community advocacy
- Multi-ethnic child and youth programs
- Development and support for parent-teacher organizations
- Dissemination of information on municipal social welfare
- Community-based provision of social services to vulnerable populations
- Community support for people with special needs

#### Infrastructure Development

- Water distribution rehabilitation or expansion
- Water supply rehabilitation or expansion
- Water storage
- Leak detection equipment and training
- Road grading, drainage and culverts
- Road asphaltting
- Road marking and safety rails
- Landslide protection
- Snow removal equipment
- Street lighting
- Rehabilitation of markets
- Renovation of Schools
- Renovation of Clinics
- Land fills
- Community center rehabilitation

#### Economic Revitalization

- Irrigation projects
- Small horticultural and greenhouse projects
- Food Processing Facilities
- Canning Facilities
- Timber mills
- Tanning and Leather Works
- Agribusiness information and information centers
- Development of agriculture cooperatives
- Shoe or textile industry

- Small Metal Works
- Tire Re-conditioning
- Business skills training
- Business planning and related support services
- Formation and strengthening of business associations
- Trades training/job skills training
- Public Works Employment

Environmental

- Reforestation and erosion control
- Rehabilitation of drainage canals
- Energy efficiency initiatives
- Environmental education initiatives
- Water treatment and testing programs
- Environmental advocacy programs
- Medical waste disposal equipment
- Solid waste disposal equipment
- Water treatment systems
- Water testing laboratories
- Wastewater collection and treatment
- Solid waste collection and treatment

In pursuing the programs noted above, the recipient will be free to employ any of a wide variety of technical assistance and training mechanisms in addition to construction to enhance the effectiveness and sustainability of activities, including:

- Technical assistance to and training of target populations and indigenous NGOs
- Public information, education and communications (IE&C) programs
- Model or pilot programs
- Development or support to non-governmental professional associations
- NGO partnerships
- Workshops and symposia

E. Program Management

Recipients will have prime responsibility to ensure that activities conducted under this program contribute to SO 2.1 and address IR 2.11 through 2.1.5. With the possible exception of senior US and country personnel and some finance and administrative personnel, staff proposed for this program should be dedicated full time to this program. The recipient will be expected to manage the program from Belgrade and a location(s) within the area of operation assigned. Proximity to the communities being served is fundamental to the effectiveness of community development. Given that this is a community development program focused on defined geographic areas, USAID will look critically at the extent to which applicants de-centralize their operation to the assigned geographic area and utilize staff, partners, and other resources from the locality.

E.1 Staffing

The core element of CRDA is the establishment and support of community and cluster committees. Broad based and informed community involvement in decisions affecting their communities, and the communities participation in finding and implementing programs to revitalize the social and economic life of the community constitutes the central element ensuring CRDA activities are relevant, sustainable, and effective. To accomplish this will require field staff in tune with the communities they serve and familiar with best practices in community mobilization. Given the broad range of activities likely to be implemented, recipients will equally need to exercise maximum flexibility in staff resources and capability to be able to provide adequate technical, training, managerial, and administrative support in response to community needs as they are identified and defined by community and cluster committees.

USAID/Serbia believes that the quality, commitment, and capabilities of the staff in this program constitute the single most important variable to success. Understanding of the environment, ability to communicate effectively with a range of persons, facilitation and negotiation skills, and commitment to the goals of the program all play as important a role as technical or managerial skills. Applicants need to show creativity, foresight, and flexibility in defining staff needs and identifying proposed individuals. The applicant should submit a staffing plan and organizational chart that describes how the applicant will address the conflicting needs for staff continuity and depth with the flexibility required to respond to a range of needs. Applicants should include staff training plans where appropriate, and describe how mentoring or other staff development techniques might be employed.

USAID/Serbia reserves the right to interview any proposed key staff as part of its application evaluation procedures and reserves the right to cancel the award if substantial changes to staffing are made.

E.2 Subgrantees, Subcontractors, and Partners

Applicants should demonstrate the full range of capabilities to undertake all the activities proposed in this program. Applicants may determine that to ensure the full range of capabilities required by this program they will partner with other US and local NGOs, universities, engineering or other technical support firms, training organizations, or other partners. Applicants may propose a consortia with other organizations however principal responsibility for implementation of the program will rest with the recipient who will act as prime and have final responsibility for implementation and performance monitoring of the program. If the applicant proposes teaming with other organizations the applicant should include a subgrantee management plan that outlines the level and type of services envisioned, relationship with the prime, and lines of authority and reporting.

The applicant will designate one individual (Chief of Party) to be the liaison with USAID/Serbia. USAID/Serbia will designate a Cognizant Technical Officer (CTO) as the counterpart to that person within

USAID/Serbia on technical and management issues concerning implementation of the CA. Correspondence regarding the project will be official only if signed by that individual or a designated replacement.

E.3 Construction Activities

As a result of the deterioration of infrastructure over the past ten years, and the neglect of infrastructure development in the communities likely to be targeted in this program, infrastructure development and rehabilitation, and environmental activities such as drainage works, erosion control, landslide protection, and water treatment are the major priorities of communities in the FRY. Public work projects will provide an opportunity to immediately increase incomes in the targeted communities through employment of labor, and purchase of materials, supplies, and services. Moreover implementation of construction projects offer the opportunity to develop local capacity to continue to meet local needs and generate future income and employment. Wherever possible therefore, local materials, supplies, labor, and contractors should be used.

Infrastructure development activities will likely involve construction that will range from simple civil works in the range of \$10,000 to technically sophisticated projects up to \$500,000 involving professional design, specialized engineering oversight, ongoing construction monitoring, contract management, and technical training of operators and maintenance personnel. USAID expects applicants to follow international standards in the design, tendering, and construction management of significant construction projects.

Applicants should propose how they will meet the design, procurement, and oversight needs in a manner that maximizes use of local resources, ensures adequate quality and safety control, and follows international standards of procurement and construction management. Given the varied construction that could be undertaken in this program, applicants should demonstrate cost-effective, flexible mechanisms to meet the technical, management, procurement, logistical, and training requirements to undertake a range of construction activities. Construction must meet all local specifications and standards and the recipient will ensure that all necessary permits, approvals, and licenses are obtained and FRY regulations regarding land use, rights of way, excavation, site protection, etc are followed. Recipients will be responsible to ensure liaison with all cognizant FRY authorities.

Projects in this program will not be implemented in areas restricted by the FRY government nor generally in areas where there is a possibility of mines, unexploded ordinance, dangerous working conditions, or risks to the health and safety of workers. De-mining will not be undertaken in this program unless specifically approved by USAID so applicants should not budget de-mining costs in their applications. Applicants will include in their applications a safety management plan that describes how they will ensure the safety and welfare of workers undertaking construction under this program. Recipients will be responsible for coordination with the FRY government or other relevant authorities to ensure activities are not conducted in potentially mined areas, or to determine the need for de-mining if they are.

Adequate computer hardware, software, and peripherals, as well as staff training should be provided to allow the capability for construction schedules and critical path reporting on construction progress. Field staff should be equipped with digital cameras and all construction projects should be documented with pictures before, after, and at key junctures. Construction management and oversight should include field visit reports, memoranda of conversations, contract negotiation memoranda, inspection reports, and ongoing digital picture documentation for reporting and dispute resolution.

E.4 Procurement

Procurement should follow accepted international standards and be consistent with the recipient's procurement regulations which must comply with the standard provisions for USAID grants, ADS 303 and 22 CFR 226. Procurement by recipients under CRDA will be governed by USAID rules on source, origin, and nationality, permitting procurement from the U.S. or the FRY (Serbia, Montenegro, and Kosovo). During implementation if recipients consider that they need to procure goods or services from sources outside the FRY or the U.S., they should submit a written request for a waiver to the USAID/Serbia Mission Director.

E.5 Coordination

The establishment of representative community and cluster committees provides an effective mechanism for a range of assistance to communities and clusters. It will be incumbent upon the recipient to facilitate the use of these mechanisms for initiating community projects that exploit the availability of resources from a variety of sources to improve community life. In some areas, most notably the Presevo Valley area, the FRY government is making a special effort to make resources available through the municipalities for community revitalization. As decentralization progresses it is likely that municipalities throughout the FRY will have additional resources to improve infrastructure, social services, job creation, and agricultural development. The donor community is investing heavily in a range of economic development programs that offer opportunities for well organized communities to utilize these funds for their benefit.

Additionally USAID is developing a range of programs to revitalize the social, political, and economic life of FRY. A local government program will work with municipal governments in areas where CRDA is active to improve citizen participation, planning, and management of municipal services, offering opportunities for municipal participation in regional planning and more sustainable management of infrastructure. A small and medium enterprise loan program may make business consulting and loans available for eligible enterprises. USAID programs in NGO support, political process, and humanitarian assistance provide vehicles for increased civic participation.

Since this RFA only covers part of USAID's assistance in the FRY and since USAID is only one donor among many in the FRY, applicants are asked to describe their approach to coordination with USAID, its other partners and with other donors, as well as with the Government of FRY. Applicants should also describe their strategies to assist community

and cluster committees to take advantage of resources available outside of this program.

F. Reporting & Evaluation

Reports shall be in accordance with 22CFR 226.50-52, and include the following types of reports:

F.1 Annual Work Plans

These plans, to be approved by USAID/Serbia, should outline proposed activities for the upcoming year and will be submitted annually within 30 days after the end of the U.S. government fiscal year. An illustrative annual work plan is to be submitted with this application. The first annual work plan will be due within 30 days from assignment of the area of operation and will cover the period till the end of the following fiscal year. Future annual work plans are due 30 days after the end of the U.S. government fiscal year. A work plan review will be conducted 6 months after submission and a revised work plan, based on the outcome of the review, will be submitted within 15 days following the review. These work plans will include, at a minimum:

- Anticipated staffing of key positions
- Community and Cluster Committees Schedule
- Community Activities Schedule (including construction schedules)
- Anticipated incremental funding schedule of community activities
- International travel plans (per the Standard Provision on International Travel)

F.2 Performance Reports

In accordance with 22 CFR 226.51, the recipient will provide semi-annual performance reports to USAID/Serbia within 30 days following the end of the U.S. government fiscal year. These performance reports will include: updated data on progress towards intermediate results; status of community activities including matching contributions; a comparison of actual accomplishments with the goals and objectives established for the period; reasons why established goals were not met (if appropriate); a discussion of any problems operative during the period together with the recipient's plans to address those problems; and any other programmatic or financial situation which is substantially different from what was anticipated. A specific format for the semi-annual performance report will be proposed by the recipient to USAID/Serbia for approval, 60 days after assignment of area of operation.

F.3 Final Report

Within 90 days following the completion of this Cooperative Agreement, the Recipient shall submit a final report which includes: an executive summary of the Agreement's accomplishments and conclusions about the need for future assistance; an overall description of the Agreement's activities and accomplishments; an assessment of the performance in accomplishing the program's objectives; significance of these activities; findings; comments and recommendations; and a fiscal report that describes how the Cooperative Agreement funds were used.

F.4 Financial Reports

Reports must be submitted quarterly for the duration of the program, no later than 15 days following the end of each calendar quarter. Reports should be submitted to the Mission Director, USAID/Serbia. Financial reports shall include expenditures of USAID project funds (including budgeted amounts) provided during the reporting period, cost-share contributions by the recipient, and matching contributions to community activities. The Recipient will also be requested to estimate expenses incurred but not reimbursed on a quarterly basis. The final financial report shall be due no later than 90 days following the end of the agreement period.

F.5 Management Information System (MIS)

All recipients under this RFA will be required to utilize a common computerized management information system developed by the Cooperative Housing Foundation. Applicants should make provision in their budget for purchase of the software and user rights to allow full utilization of the system. Computer and communication capabilities, as well as LAN administration should be adequately budgeted to allow for full electronic tracking and reporting of project activities, performance indicators, and other modules as made available. It is anticipated that the MIS capability will define elements of performance reporting allowing common formats across all recipients. Once the MIS is fully functional and on the internet USAID may eliminate the requirement for semi-annual performance reports.

F.6 Evaluations and Audits

A mid-term review of the CRDA will be conducted by USAID in collaboration with the recipients under this RFA approximately 24 months after the start of the program. Recipients will be invited to participate in the review and should be prepared to provide information and data as required to undertake the review. The results of the review will be used, if needed, to make mid-course improvements to the efficiency and effectiveness of the program. USAID reserves the right however, to conduct its own independent review at any point during the life of this CA.

Recipients and subrecipients that are non-profit institutions shall be subject to the audit requirements contained in 22CFR 226.26.

## G. Substantial USAID Involvement

1. USAID/Serbia will approve annual work plans. An illustrative work plan is required as part of the application. The first annual work plan will be required 30 days from assignment of the recipients area of operation.
2. Based on the applicant's proposed staffing plan, USAID/Serbia will designate up to five positions as key. USAID/Serbia's approval of the individuals filling these positions is required. USAID/Serbia reserves the right to review this approval at any time and to revoke approvals previously granted.

3. USAID/Serbia will approve monitoring and evaluation plans, and USAID will be involved in monitoring progress toward the achievement of program objectives during the course of the Cooperative Agreement.
4. USAID/Serbia, in coordination with recipients, will decide on the geographical areas of implementation. USAID will also maintain the right to redirect activities in response to changes in the political situation.
5. Given this program's inter-relationship with other aspects of the U.S. Mission's assistance program and the sensitive nature of political relationships in the FRY, the U.S. Embassy and USAID will provide political guidance to the implementing organization. The U.S. Embassy and USAID will also retain primary responsibility for conducting policy dialogue with the Government of FRY.

#### H. Special Considerations

##### H.1 Environmental Impact

Where construction, renovation, or rehabilitation work is involved recipients will be required to prepare guidelines to ensure that possible environmental impacts, including health and safety issues, are given appropriate consideration in program design and implementation. In developing appropriate guidelines the recipient should ensure that environmental review procedures and guidelines are in accordance with the Agency's environmental regulations.

##### H.2 Gender

Because of both economic and equity issues, gender affects program performance and its inclusion in activity planning will result in better targeted and more effective programs. Gender is not a euphemism for "women". It means examining the constraints and opportunities for both men and women - particularly as they may differ. Including gender means assessing: how the problems of men and women may be different; how the impact of activities may differentially affect men and women; and how the contributions of men and women may contribute to results in different ways. The CRDA will consciously address the need for increased gender balance in areas such as advocacy, training, business development, access to credit, access to legal services, and other aspects of the activity as appropriate. The successful applicant will demonstrate a knowledge of and sensitivity to gender issues and illustrate how that knowledge and sensitivity will be translated to effective implementation of the program. As appropriate and feasible, all impact and indicator data will be disaggregated by gender.

##### H.3 Corruption

Corruption is a particular problem in transition countries where institutions of governance are weak, economic and political change are occurring rapidly, public officials are faced with responsibilities for which they have little or no training or experience and information about public and private activities is rarely available to the public. For such societies, the cost of corruption is high: both domestic and foreign investment are deterred, public revenues are lost and therefore unavailable to provide social benefits to those who need them, income

inequality grows as a privileged few capture disproportionate benefits unfairly, and confidence in democratic systems and market economics erodes among the populace.

One effective way to respond to the issue of corruption is to identify vulnerabilities, as well as reform needs and opportunities. The successful applicant will be expected to structure implementation and monitoring procedures to minimize the potential for waste, fraud and corruption and training staff, especially local staff, local partners and other program participants, in both ethics and the implementation of preventive procedures. The successful recipient will utilize transparent competitive practices in the procurement of materials and services and ensure effective oversight and monitoring of activities.

H.4. Restrictions on Assistance to FRY or Serbia

Various U.S. Government statutory or regulatory restrictions on assistance may apply to the program during its duration. USAID will inform the recipients of these restrictions, and incorporate them into the cooperative agreements as necessary.

I. Duration and Location of Program

The duration of this program is five years from approximately July 1, 2001 through June 30, 2006. Up to 8 awards may be made, for implementation in the Federal Republic of Yugoslavia, at any time during the 12 month period following the issuance of this RFA.

J. Timing

June 30, 2001:	Award Issued
July 30, 2001:	Office operational in area of operation
August 31, 2001:	Initial community activities begun to the extent possible in each community

K. Proposing Organization

USAID will entertain applications from qualified U.S. entities such as private, non-profit organizations, including private voluntary organizations, aid organizations, etc. Potential applicants are free to join forces and collaborate with other potential applicants, so as to make the best use of each organization's comparative advantage, e.g. to strengthen technical expertise in a particular sector. The application should clearly describe the organizational structure, roles, responsibilities and lines of communications with any prime/sub relationship proposed. Applicants are expected to build upon and strengthen FRY non-governmental and private sector capacity and to utilize local personnel and facilities to the maximum extent possible, minimizing recurrent costs. Applicants are encouraged to form partnerships with FRY organizations and to propose the method of cooperation under this award.

END OF SECTION III

SECTION IV

U.S. and Non- U.S. Non-Government Recipient Cooperative Agreement Formats

The Cooperative Agreement regulations and formats are available for informational purposes only for potential applicants via the Internet at "http://www.info.usaid.gov/" under the Business & Procurement link. The ADS 303 and 22 CFR 226 regulations can then be accessed under the USAID Procurement Regulations (Handbooks) link. In addition, the following web-site contains the supplementary references to 303, including the Sample Format for Award Letter and Schedule and Standard Provisions, both Mandatory and Required As Applicable, for US Non-Governmental and Non-US Non-Governmental Recipients:

<http://www.usaid.gov/pubs/ads/300/303.htm#303.6>

ONLY if the applicant is not able to review the Cooperative Agreement text and format via the USAID Internet website , potential applicants may request a hard copy of the text and cooperative agreement format by contacting the Regional Contracts Office, USAID Regional Services Center at the fax no. (36-1) 269-5893.

Applicants should NOT fill in any of the blanks in the Cooperative Agreement Format, NOR return it to USAID, since the Agreement Officer shall issue the actual Cooperative Agreement after the final selection is made.

SAMPLE COOPERATIVE AGREEMENT FORMAT

Subject: Cooperative Agreement No. \_\_\_\_\_

Dear \_\_\_\_\_:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby grants to \_\_\_\_\_ (hereinafter referred to as "\_\_\_\_\_" or "Recipient"), the sum of \$\_\_\_\_\_ to provide support for the implementation of an NGO Partnerships Umbrella Grant Program, as described in Attachment 1, entitled "Schedule" and in Attachment 2, entitled "Program Description" of this award.

This award is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending \_\_\_\_\_. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This award is made to \_\_\_\_\_, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program Description" and Attachment 3 entitled "Standard Provisions".

In the space provided below, please sign the original and each copy of this letter to acknowledge your acceptance of this award and return the original and all but one copy to the Agreement Officer.

Sincerely,

Andrew Holland  
Agreement Officer

Attachments:

- 1. Schedule
- 2. Program Description
- 3. Standard Provisions (Mandatory and Optional)

The terms of this Agreement are acceptable to the Recipient:

BY: \_\_\_\_\_

TITLE: \_\_\_\_\_

DATE: \_\_\_\_\_

ACCOUNTING AND APPROPRIATION DATA

A. GENERAL

1. Total Estimated Amount: \$
2. Total Program Amount:
3. Total Obligated Amount:
4. Project No.:
5. USAID Project Office:
6. Tax I.D. Number:
7. DUNS No.:

B. SPECIFIC

1. MAARD Number:
2. Appropriation:
3. Allotment:
4. BPC:
5. MAARD Obl. Amount: \$

ATTACHMENT 1

SCHEDULE

1.1 PURPOSE OF AGREEMENT

The purpose of this Agreement is to provide support for the program described in Attachment 2 of this Agreement entitled "Program Description."

1.2 PERIOD OF AGREEMENT

The effective date of this Agreement is the date of the Cover Letter and the completion date is \_\_\_\_\_.

1.3 AMOUNT OF AWARD and PAYMENT

1. The total estimated amount of this Agreement is \$\_\_\_\_\_.

2. USAID hereby obligates the amount of \$\_\_\_\_\_ for purposes of this Agreement.

3. Payment shall be made to the Recipient by (to be determined) in accordance with the procedures set forth in (to be determined).

1.4 BUDGET

The following is the Agreement Budget\*. Revisions to this budget shall be made in accordance with 22 CFR 226.25.

<u>Line Item</u>	<u>Amount</u>
Salaries/Wages	
Fringe Benefits	
Travel/Per Diem	
Other Direct Costs	
Total Direct Cost	
Overhead	
G&A	
Subgrants	
Total Estimated Cost	_____
USAID Total Contribution:	
Total Cost Share	
Total Program Cost	

\*Note: This is an illustrative, it may contain different Line Items.

1.5 REPORTING AND EVALUATION: Per RFA

1.6 SIGNIFICANT INVOLVEMENT BY USAID: Per RFA

1.7 INDIRECT COSTS

Pursuant to the Optional Standard Provision of this Award entitled Negotiated Indirect Cost Rates - PROVISIONAL, an indirect cost rate shall be established for each of the Recipient's accounting periods which apply to this Award. Pending establishment of final or revised PROVISIONAL indirect cost rates, PROVISIONAL payments on account of allowable costs shall be made on the basis of the following negotiated PROVISIONAL rate(s) applied to the base(s) which is (are) set forth below:

Rate	Base	Period
		1/ From: Agreement Effective date
		To: Until Rate is Amended

1/ Base of Application: TO BE DETERMINED

1.8 TITLE TO AND CARE OF PROPERTY

Title to all property financed under this award shall vest in the Recipient subject to the requirements of 22CFR226.30 through 37.

1.9 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is Code 000 and 169.

1.10 PROGRAM INCOME

The Recipient shall account for Program Income in accordance with 22 CFR 226.24. Program Income earned under this award shall be applied and used as additive to the Agreement to further the Program objectives.

1.11 KEY PERSONNEL

The following positions are considered key to the successful completion of the project described in this Agreement. The named personnel are approved and the Recipient agrees to submit to USAID for approval any proposed replacement for any of the persons named below.

Position

Name

TO BE DETERMINED

.....End of Attachment 1 .....

ATTACHMENT 2

PROGRAM DESCRIPTION

END OF ATTACHMENT 2

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ATTACHMENT 3

MANDATORY STANDARD PROVISIONS

END OF ATTACHMENT 3

END OF SECTION IV



SECTION V

U.S. Agency for International Development

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT<sup>1 2</sup>

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING  
NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a)The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1)Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2)Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3)The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4)Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5)USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b)If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services

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<sup>1</sup>FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a)

<sup>2</sup>When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E)Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F)Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G)Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2)The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS<sup>3</sup>

(a)Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

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<sup>3</sup>The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.<sup>4</sup> You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"<sup>5</sup> provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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<sup>4</sup>See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A.

<sup>5</sup>For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities,"<sup>6</sup> in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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<sup>6</sup>See Attachment B.

5. CERTIFICATION OF RECIPIENT

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

Solicitation No.  
Application/Proposal No.  
Date of Application/Proposal  
Name of Recipient

Typed Name and Title

Signature  
Date

PART IIOTHER STATEMENTS OF RECIPIENT1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

<u>Telephone No.</u>	<u>Name</u>	<u>Facsimile No.</u>	<u>Title</u>
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2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN:

3. CONTRACTOR IDENTIFICATION NUMBER--DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.

- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS:

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: 72-00-

5. PROCUREMENT INFORMATION

(a)Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b)Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

         \$

(c)Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged

directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

<u>Type/Description</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>(Generic)</u>
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(d)Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

<u>Type/Description</u>	<u>Estimated</u>	<u>Quantity</u>	<u>Probable Source</u>
<u>Probable Origin</u>	<u>(Generic)</u>	<u>Quantity</u>	<u>Unit Cost</u>
<u>Goods</u>	<u>Components</u>	<u>Goods</u>	<u>Components</u>

(e)Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles,

Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

Type/Description				Estimated
Probable	Probable	(Generic)		<u>Quantity</u>
<u>Unit Cost</u>	<u>Intended Use</u>	<u>Source</u>	<u>Origin</u>	

(f)Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

Type/Description		Estimated	Probable
Supplier Nationality	Rationale	(Generic)	<u>Quantity</u>
<u>Unit Cost</u>	<u>(Non-U.S. Only)</u>	<u>for non-U.S.</u>	

(g)Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>
<u>Proposed Disposition</u>		

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a)If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of \_\_\_\_\_,  an individual,  a partnership,  a nongovernmental nonprofit organization,  a state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or

(b)If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a nongovernmental educational institution,  a governmental organization,  an international organization, or  a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

Attachment A

Page 1 of 2

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No.  
Application/Proposal No.  
Date of Application/Proposal  
Name of Applicant/Subgrantee  
Typed Name and Title

Signature  
Date

END

OF

SECTION

V

SECTION VI

Standard Form 424

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION:		3. DATE RECEIVED BY STATE	State Application Identifier
Application	Preapplication	4. DATE RECVD BY FEDERAL AGENCY	Federal Identifier
Construction <u>                    </u> Non- Construction	Construction <u>                    </u> Non- Construction		
5. APPLICATION INFORMATION			
Legal Name:		Organizational Unit	
Address (give only county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box).....	<input type="checkbox"/>
8. TYPE OF APPLICATION		A. State	H. Independent School Dist
		B. County	I. State Controlled Institution of Higher Learning

_____ New _____ Continuation Revision  If _____ Revision, _____ enter appropriate letter(s) in <input type="checkbox"/> box(es) .....		C. Municipal  D. Township  E. Interstate  F. Intermunicipal  G. Special Dist.	J. Indian Tribe  K. Individual  L. Profit Organization  M. Other (specify)
A. Increase Award B. Decrease Award C. Increase Duration		D. Decrease Duration E. Other (specify):	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:  TITLE:		9. NAME OF FEDERAL AGENCY	
12. AREAS AFFECTED (Cities, Counties, States, etc.):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	END DATE	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:	
b. Applicant	\$		

c. State	\$	DATE  B. NO. _____ PROGRAM IS NOT COVERED BY E.O. 12372 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
d. Local	\$	
e. Other	\$	
f. Program Income	\$	
g. TOTAL	\$	
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? _____ Yes If _____ No "Yes", attach an explanation		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		
a. Type Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

Previous Edition usable  
Authorized for Local Representative

Standard Form 424 (REV 4-92)  
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- |  |   |
|--|---|
| <p>Item:           Entry:</p> <p>1. Self-explanatory.</p> <p>2. Date application submitted to Federal agency (or State if applicable) &amp; applicant's control number (if applicable).</p> <p>3. State use only (if applicable).</p> <p>4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.</p> <p>5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.</p> <p>6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.</p> <p>7. Enter the appropriate letter in the space provided.</p> <p>8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:</p> <ul style="list-style-type: none"> <li>- "New" means a new assistance award.</li> <li>- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</li> </ul> | <p>9. Name of Federal agency from which assistance is being requested with this application.</p> <p>10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.</p> <p>11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.</p> <p>12. List only the largest political entities affected (e.g., State, counties, cities).</p> <p>13. Self-explanatory.</p> <p>14. List the applicant's Congressional District and any District(s) affected by the program or project.</p> <p>15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.</p> |
|--|---|

Item:           Entry:

16.Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.

17.This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.

18.To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

Standard Form 424A  
OMB Approval No. 0348-0044  
Budget Information - Non-  
Construction Programs

ON A - BUDGET SUMMARY						
Program ion tivity	Catalog Federal Domestic Assistance Number {b}	of	Estimated Unobligated Funds		New or Revised Budget	
			Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}
	\$		\$	\$	\$	\$
ALS	\$		\$	\$	\$	\$

ON B - BUDGET CATEGORIES					
Object Class Categories	Grant Program, Function or Activity				Total
	{1}	{2}	{3}	{4}	
Personnel	\$	\$	\$	\$	\$
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Construction					
Other					

Total Direct Charges (sum -6h)					
Indirect Charges					
TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
ogram Income	\$	\$	\$	\$	\$

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STANDARD FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10					
11					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	Future Funding Periods				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A

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Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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## General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line

in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use

Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

## Standard Form 424A (cont'd.)

## INSTRUCTIONS FOR THE SF 424A (continued)

## Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

## Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

END OF SECTION VI